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ABSTRACT

This manual provides guidelines for responding to a request for proposals under the provisions of the Carl D. Perkins Vocational Education Act of 1984 in the State of Maine. The manual is organized in five sections. The first section (introduction) outlines basic goals and program standards of the act, categorical set-asides and allocations, and grants to eligible recipients. The second section explains award criteria--for services and activities for the handicapped and disadvantaged, for adult training and retraining projects, for single parents and homemakers and sex equity projects, and for Title III special projects; it also suggests sources of further information on funding opportunities and criteria. The format of grant applications is discussed in the third section, with information on the summary/abstract; needs assessment/problem statement; goals and objectives; activity plan; coordination statement; plan for assuming fiscal responsibility; monitoring and evaluation plan; project progress reports; budget and payment schedule; year-end financial report; budget adjustment form; and assurances. The fourth section provides examples of the various parts of the prescribed format, and the final section is an appendix containing information on the grant agreement, grant award rule, grant reapplication process, and categorical structure of the Carl D. Perkins Act. (KC)

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UNIFORM GUIDELINES FOR LOCAL APPLICATIONS FOR ASSISTANCE TO ELIGIBLE RECIPIENTS

UNDER THE CARL D. PERKINS VOCATIONAL EDUCATION ACT (P.L. 98-524)

PROGRAM YEAR 1990-1991

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INTRODUCTION 1

FUNDING FOR ELIGIBLE RECIPIENTS UNDER THE CARL D. PERKINS ACT PROGRAM YEAR 1990-1991

The State of Maine has been allocated just over $4.6 million in federal vocational education assistance funds for the 1991 Program Year (July 1, 1990 through June 30, 1991).

Made available through the provisions of the Carl D. Perkins Vocational Education Act of 1984 (P.L. 98-524), these funds are awarded to the State Board of Education, which serves as the State Board of Vocational Education for the purposes of the Perkins Act.

The Department of Educational and Cultural Services (DECS)—and within the department, the Bureau of Adult and Secondary Vocational Education (BASVE)—in turn serves as the staff of the State Board of Education for Perkins administration.

Maine's total Perkins projected allotment of $4,658,073 for PY 1991 breaks down into three separate federal grants: a basic state grant for vocational education ($4,418,343); a grant to provide "State Assistance for Vocational Education Support Programs by Community-Based Organizations" ($57,591); and a consumer and homemaking education grant ($182,533).

The Perkins Act [Section 113(b)(4)] requires that at least 80% of the funds available under the basic state grant for vocational education be distributed to "eligible recipients"— which the Perkins Act defines as local educational agencies and postsecondary educational institutions.

This manual constitutes notice of availability of funds under the basic state grant and a request for proposals. Separate notifications and requests-for-proposal are being issued for the disadvantaged/handicapped, community-based organization, and consumer and homemaker education funds.

Basic Goals and Program Standards of the Carl D. Perkins Vocational Education Act

From an historical standpoint, the Carl D. Perkins Act represents merely the most recent reauthorization of federal vocational education legislation that dates back over seven decades to the early years of this century (the earliest piece of federal vocational education legislation, the Smith-Hughes Act—a direct ancestor of the Perkins Act—was passed in 1917).

But the Carl Perkins Act includes provisions that mandate many far reaching changes in the way federal funds must be allocated and employed within each State to assist vocational education. Eligible recipients of local assistance under the Perkins Act should bear these new provisions in mind as they develop their proposals.

1. To "assist the States to expand, improve, modernize, and develop quality vocational education programs, in order to meet the needs of the nation's existing and future work force for marketable skills, and to improve productivity and promote economic growth";

2. To "assure that individuals who are inadequately served under vocational education are afforded access to quality vocational education programs, especially individuals who are disadvantaged, individuals who are handicapped, men and women who are entering nontraditional occupations, adults who are in need of training and retraining, individuals who are single parents or homemakers, individuals with limited English proficiency, and individuals who are incarcerated in correctional institutions;"

3. To "promote greater cooperation between public agencies and the private sector in preparing individuals for employment, in promoting the quality of vocational education in the states, and in making the vocational system more responsive to the labor market";

4. To "assist the most economically depressed areas of each State to raise the employment and occupational competencies of their citizens";

5. To "assist the states to utilize a full range of supportive services, special programs, and guidance counseling and placement programs to achieve the basic purposes of the Act"; and,

6. To "improve the effectiveness of consumer and homemaking education, and to reduce the limiting effects of sex role stereotyping on occupations, job skills, levels of competency, and careers."

Categorical Set-asides and Allocations

No more than 7% of the Title II Basic State Grant for Vocational Education may be reserved for administrative expenses at the State level. Of that 7%, at least $60,000 must be committed to the salary, benefits, and expenses of a sex equity coordinator.

To assure equal access to quality vocational education, the Perkins Act requires that a total of 57% of each State's remaining Title II funds—after State Administration funds are subtracted—be used under the Part A "Vocational Education Opportunities" program to "provide vocational education services and activities designed to meet the special needs of, and enhance the participation of" six specified populations, each with its own set-aside:

1. Handicapped individuals (10% set-aside);
2. Disadvantaged individuals (22%);
3. Adults in need of training or retraining (12%);
4. Single parents and homemakers (8.5%);
5. Men and women who are entering non-traditional occupations [i.e., participants in programs designed to eliminate sex bias and stereotyping in vocational education] (3.5%); and,
6. Correctional institution inmates (1%).

The remaining 43% of each State's Title II Basic Grant must be used under Part B to meet the needs identified in each State for "Program Improvement, Innovation, and Expansion."

These Part B "Program Improvement" funds cannot be used to maintain existing projects, services, or activities—with the exception of certain services and activities which "by their very nature, contribute to the expansion, improvement, or development of vocational education programs." Included in this latter category are technical assistance, curriculum development, economic development, stipends for the disadvantaged, placement services, and day care services.

Out of the 43% Part B funds, each State is required to plan expenditures for career guidance and counseling programs that are at least equal to such expenditures in federal Fiscal Year 1984 (Perkins Program Year 1985).

State Board policy divides the total annual Part B allocation approximately into thirds: one-third for awards to secondary-level and adult-level eligible recipients, one third for awards to the post-secondary Maine Vocational-Technical Institute System, and one-third for State-level program improvement activities.

At least 51% of all awards to eligible recipients under Title II (as well as at least 1/3 of Title III, Part B Consumer and Homemaking Education funds) must go to areas of the State that have been designated economically depressed (meaning areas of the state with high levels of poverty or unemployment or both).

In addition, each State must match most funding lines with an equal commitment of state and local resources. Only the sex equity coordination funds and the services to single parents and homemakers, sex equity program participants, and correctional inmates are exempt from the 100% matching requirement. Altogether, the State of Maine's allotment of Carl D. Perkins Act funds for PY 1990-1991 breaks down in the following way:

• Administration	$ 265,101
• Sex Equity Coordination	60,000
• **Total State Administration**	**325,101**
• Services to the Handicapped	409,324
• Services to the Disadvantaged	900,513
• Adult Training/Retraining Services	491,189
• Single Parents/Homemakers Services	347,926
• Sex Equity Services	143,264
• Correctional Inmates Services	40,932
• **Total Vocational Education Opportunities (Part A)**	**2,333,148**
• Local-Level Program Improvement Projects	1,201,526
• State-Level Program Improvement Activities	558,568
• **Total Program Improvement (Part B)**	**1,760,094**
• **Basic State Grant Total**	**4,418,343**
• State Assistance for Voc Ed Support By CBO's	57,197
• Consumer and Homemaking Education	182,533
• **Total Title III Special Programs**	**239,730**
• **Total State Grant**	**$4,658,073**

INTRODUCTION 5

Grants to Eligible Recipients

As noted earlier, at least 80% of the Basic State Grant—i.e., $3,534,674 in PY 1991—must be distributed in the form of grant awards to eligible recipients—including the 28 secondary vocational regions and centers, the Maine Technical College System with six campuses, the nearly 60 adult and community education programs that have been authorized to offer adult vocational education, and, for certain specific purposes, the University of Maine System.

To expedite the process of making grant awards, BASVE has adopted a uniform format for grant applications. Although the scope and content of applications may vary widely according to the type of project, **all proposals should conform as closely as possible to the uniform format.**

For the convenience of applicants, a set of application and reporting forms, consistent with the uniform format and suitable for reproduction, is included in this booklet as Exhibits I-XV (Exhibits XI and XII are mock-ups, included for illustration only; also, certain forms will not be applicable to some proposals). Additional sets are available on request.

Since each section and set-aside within the Perkins Act imposes separate and distinct requirements for the allocation and use of funds, a uniform grant award process is not feasible. Special standards and criteria for grant awards are employed for each specific category of Perkins funds. Both the uniform format for applications and the special standards and criteria for each category are detailed below.

Regardless of the category involved, all applications for assistance should be submitted to the following address:

Bureau of Adult and Secondary Vocational Education
Division of Program Services and Finance
State House Station 23
Augusta, ME 04333-0023

Attention: **Pat Julien**

Proposals will be logged and dated as received, and each applicant will be sent a letter of receipt.

Each application will receive an initial review by one of the three divisions within the bureau.

The **Division of Program Services and Finance** will review career guidance and counseling proposals and proposals for services and activities for the handicapped and disadvantaged, for single parents and homemakers and sex equity participants, and for inmates of correctional institutions. The **Division of Adult and Community Education** will review proposals for adult training and retraining projects. The **Division of Secondary Vocational Education** will review proposals for secondary program improvement grants.

Following division review, applications will be reviewed by independent reading teams. This group will read and rate each proposal for potential funding under various sections of the Act. The Bureau Administrative Team will take their findings into consideration when reviewing both entitlement and discretionary projects for funding. In turn, the Administrative Team will make recommendations to the BASVE Associate Commissioner, who will make the final decision.

No proposal will be funded until the department is fully satisfied that applicable State and federal requirements have been met, including applicable EDGAR (Education Department General Administrative Regulations) provisions.

Letters of award or denial will be forwarded to all applicants by the Associate Commissioner. Letters of award will include mandatory stipulations concerning the annual project audit required by the Single Audit Act and other accountability requirements, plus a formal **grant agreement** (see **Addendum A**).

Funding denials may be appealed in writing to the Commissioner of Educational and Cultural Services within ten days of receipt of a denial letter. **No funds should be expended until the formal letter of grant award has been received and the grant agreement has been signed.**

Addendum B sets forth the overall standards and procedures governing the awarding of contracts and grants used by all DECS divisions. Reapplication requirements developed by BASVE for projects funded under the Perkins Act are set forth in **Addendum C**. **Addendum D** presents further information on the categorical structure of the Carl D. Perkins Act.

Note that no new funds will be awarded until annual project progress reports and year-end financial reports have been received by BASVE program and fiscal officers.

AWARD CRITERIA 7

CRITERIA FOR GRANT AWARDS UNDER TITLE II, PARTS A AND B, OF THE CARL D. PERKINS ACT

The Carl D. Perkins Vocational Education Act identifies six groups of individuals who have often been inadequately served by vocational education in the past:

- individuals who are handicapped;
- individuals who are disadvantaged, including those with limited English proficiency;
- adults who are in need of training and retraining;
- individuals who are single parents or homemakers;
- men and women who are preparing to enter nontraditional occupations; and,
- individuals who are incarcerated in correctional institutions.

The Perkins Act assigns a very high priority to assuring that these individuals with special needs have access to quality vocational education programs, and establishes six set-asides for that purpose under the heading of the Title II, Part A "Vocational Education Opportunities" program.

Criteria for Services and Activities for Individuals With Handicaps & Disadvantages

In particular, the Act defines substantial set-asides—10% and 22%, respectively—to ensure that handicapped and disadvantaged individuals have access to the full range of vocational education programs in the "least restrictive environment."

The funding formula that governs distribution of these two set-asides effectively constitutes an entitlement.

Of the 10% set-aside for handicapped individuals, the Perkins Act specifies that:

> "(i), 50 percent of such amount shall be allocated to eligible recipients on the basis of the relative number of economically disadvantaged individuals enrolled in each eligible recipient in the fiscal year preceding the fiscal year in which the determination is made to the total number of such individuals enrolled in all eligible recipients within the State in such year; and,
>
> "(ii), 50 percent shall be allocated on the basis of the relative number of handicapped students served in vocational education programs by each eligible recipient within the State in the fiscal year preceding the fiscal year in which the determination is made as compared to the total number of such individuals served by all eligible recipients in the State in such year." [§ 203(a)(1)(B)]

Similarly, of the 22% set-aside for disadvantaged individuals, the Perkins Act [§ 203(a)(2)(B)] specifies that:

"(I), 50 percent of such amount shall be allocated to eligible recipients on the basis of the relative number of economically disadvantaged individuals enrolled in each eligible recipient in the fiscal year preceding the fiscal year in which the determination is made compared to the total number of such individuals enrolled in all eligible recipients within the State in such year; and,

"(II), 50 percent shall be allocated on the basis of the relative number of disadvantaged individuals and individuals with limited English proficiency served in vocational education programs by each eligible recipient within the State in the fiscal year preceding the fiscal year for which the determination is made as compared to the total number of such individuals served by all eligible recipients within the State in such year."

In other words, **one half of each set-aside is distributed among all eligible recipients in the State who are participating in the Vocational Education Opportunities program in proportion to the relative number of economically disadvantaged students enrolled by each recipient during the reference year.**

The Perkins Act defines "**economically disadvantaged**" to mean:

1. **Annual income at or below the official poverty line;**
2. **Eligibility for free or reduced-price school lunch;**
3. **Eligibility for Aid to Families with Dependent Children (AFDC) or other public assistance programs;**
4. **Receipt of a Pell Grant or comparable State program of need-based financial assistance; or,**
5. **Eligibility for participation in programs assisted under JTPA Title II.**

For the purpose of this calculation, it does not matter whether or not students are handicapped or academically disadvantaged, or whether or not they are pursuing a vocational education course of study or receiving special services. **All students enrolled in the institution during the reference year who met any of the five listed criteria can be counted.**

The effect of this first expression within the handicapped and disadvantaged formulas is to weight the distribution of funds toward recipients with relatively larger numbers of low-income students.

The other half of each set-aside is distributed among all eligible recipients in the State who are participating in the Vocational Education Opportunities program in proportion to the relative number of special needs students—either handicapped or disadvantaged—served in vocational education by each recipient during the reference year.

The Perkins Act defines "**handicapped**" to refer to individuals:

1. **who are either mentally retarded, learning disabled, hearing impaired, visually impaired, speech impaired, orthopedically-impaired, other health impaired, seriously emotionally disturbed, deaf-blind, or multi-handicapped; *and,***

2. **who by reason of their handicapping condition cannot succeed in vocational education without special education assistance and related services.**

In this context, the Perkins Act defines "**disadvantaged**" to refer to individuals:

1. **who are *not* handicapped;**

2. **who are economically or academically disadvantaged—including:**

   a. **migrants;**
   b. **individuals who have limited English proficiency;**
   c. **high school dropouts or potential dropouts;**
   d. **members of low-income families;**
   e. **students who score below the 25th percentile on standardized achievement or aptitude tests; or,**
   f. **students who have less than a "C" average (2.0 on a 4.0 scale) or are failing to maintain minimum academic competencies; *and,***

3. **who by reason of their disadvantages require special services and assistance in order to enable them to succeed in vocational education.**

For the purpose of this calculation, an unduplicated head count is required of all those students who met standard federal definitions of handicapping conditions or disadvantages and who received special services during the reference year as a result.

Students who received special services because of both handicapping conditions and disadvantages can be counted only once, as handicapped.

The Carl D. Perkins Act adds that "The state board shall assure that sums allocated among eligible recipients pursuant to this subsection shall be used by an eligible recipient for vocational education services and activities for individuals with limited English proficiency in the same proportion as the number of individuals with limited English proficiency served by each eligible recipient within the state in the fiscal year preceding the fiscal year in which the determination is made bears to the population of the state in that year." [Section 203(a)(3)]

In other words, **half of the total amount of funds available under these Perkins set-asides during any given program year must be distributed among all participating eligible recipients in proportion to the relative number of low-income students they enrolled two years earlier, and half in proportion to the relative number of handicapped, disadvantaged, and limited English-speaking ability individuals they provided with special vocational education services during the same period.**

All eligible recipients who enroll low-income students or serve handicapped, disadvantaged, or limited English-speaking individuals in any given year are thus assured of funding during the program year after next, providing they document their enrollments and services to those groups and submit a proposal that conforms to basic Carl D. Perkins requirements for these set-asides.

These basic requirements are as follows:

First of all, the relevant paragraphs of the Carl D. Perkins Act [Section 201(c)(1)] prescribe that **funding under the handicapped and disadvantaged set-asides is available "only for the federal share of expenditures limited to supplemental or additional staff, equipment, materials, and services not provided to other individuals in vocational education that are essential for handicapped or disadvantaged individuals to participate in vocational education."**

"If the conditions of handicapped or disadvantaged students require a separate program," the Carl D. Perkins requirements continue, handicapped and disadvantaged funds can be used only "for the federal share of the costs of the services and activities in separate vocational education programs for handicapped and disadvantaged individuals which exceed the average per-pupil expenditures for regular services and activities of the eligible recipient."

In promulgating these **"excess costs" requirements**, Congress intended to prevent what appeared to be a common abuse of funds under the previous reauthorization of the Vocational Education Act: that is, local educational agency use of federal vocational education set-asides for the handicapped and disadvantaged to cover the total cost of educating handicapped and disadvantaged students, instead of the additional, excess costs—thus, increasing the per capita level of local resources for non-handicapped and disadvantaged students—thus, indirectly subsidizing basic local educational expenses using federal funds appropriated for a different purpose.

To forestall these abuses and thus concentrate limited federal funds upon the students with the highest levels of need, the Perkins Act mandates that *only those costs which have a specific, direct, and demonstrable relationship to meeting the* ***unique*** *needs of handicapped and disadvantaged students can be met with federal Carl Perkins Act funds or matching state or local resources.*

The costs of a stand-alone diversified occupations program, for example, can be covered **only to the degree to which the program is more expensive to operate than the average vocational program offered by the eligible recipient.** The costs of supplies and equipment purchased for handicapped and disadvantaged students in a regular program can be covered only in those cases where such equipment is never furnished by the recipient to non-handicapped and non-disadvantaged students.

The sole exemption from the "excess costs" requirement is found in Section 201(d)(2) which indicates that any purchases of modern machinery and equipment by schools at which at least 75 percent of the students are disadvantaged are deemed to satisfy the excess costs requirement.

In addition, Section 204(a) requires deliverers of services to the handicapped and disadvantaged to provide assurances that:

1. Equal access will be provided to handicapped and disadvantaged individuals in recruitment, enrollment, and placement;

2. Equal access will be provided to handicapped and disadvantaged individuals to the full range of vocational programs available to non-handicapped and non-disadvantaged individuals, including occupationally specific courses of study, cooperative education, and apprenticeship programs;

3(A). Vocational education programs and activities for handicapped individuals will be provided in the least restrictive environment in accordance with section 612(5)(B) of the Education of the Handicapped Act, and will, whenever appropriate, be included as a component of the individualized education plan required under section 612(4) and 614(a)(5) of such Act; and,

3(B). Vocational education planning for handicapped individuals will be coordinated between appropriate representatives of vocational education and special education.

Section 204(b) also requires that: "Each local educational agency shall... provide information to handicapped and disadvantaged students and [their] parents... concerning the opportunities available in vocational education at least one year before the students enter the grade level in which vocational education programs are first generally available in the state, but in no event later than the beginning of the ninth grade, together with the requirements for enrollment in such programs."

Finally, the Carl D. Perkins Act [Section 204(c)] specifies that **each handicapped and disadvantaged student enrolled in vocational education shall receive the following range of special services:**

1. Assessment of their interests, abilities, and special needs with respect to successful completion of vocational education;

2. Special services, including curriculum adaptation, instruction, equipment, and facilities designed to meet their needs;

3. Guidance, counseling, and career development activities conducted by professionally-trained counselors; and,

4. Counseling services designed to facilitate the transition from school to post-school employment and career opportunities.

AWARD CRITERIA 13

State law and policy limit eligibility for the handicapped and disadvantaged set-asides in Maine to vocational regions and centers and the vocational-technical institutes.

To apply for funding under the Perkins handicapped or disadvantaged set-asides, each eligible recipient must first forward documentation of its enrollments and its services to those groups during the previous program year. As soon as the necessary data has been collected on the numbers of low-income students enrolled and of handicapped and disadvantaged individuals served in the preceding year by each participating eligible recipient, BASVE staff employ this data in conjunction with the formulas prescribed in the Perkins Act to determine minimum funding levels from each set-aside for each recipient.

Proposals for the use of handicapped and disadvantaged set-aside funds in Maine are required to specify what procedures have been used by the applicant to identify eligible individuals and to comply with the "excess cost" requirements, and must include a detailed action plan for meeting the minimum criteria outlined above. Proposal summaries must indicate whether a mainstream or separate program is being proposed.

Recent federal interpretations have excluded from eligibility for funding under the disadvantaged set-aside services and activities which have a direct bearing on the problems of economically disadvantaged students (stipends, tuition waivers, transportation, child care). In general, the only types of projects currently understood to be allowable are the following:

1. In-class tutoring (for academically disadvantaged students only);

2. After-class developmental studies programs and developmental laboratories/learning resource centers (again for academically disadvantaged students only); and,

3. Student support services counselors and student support services centers (who can provide special guidance and counseling to economically disadvantaged students—including financial aid counseling if not already offered as a separate service—and social services "information and referral").

All acceptable proposals are funded at least at the level prescribed by the funding formulas. In the event that some recipients don't apply for their full allocation, surplus funds may be distributed among recipients who have applied for more than they were allocated.

AWARD CRITERIA 14

Criteria for Adult Training and Retraining Projects

Unlike the handicapped and disadvantaged set-asides, **the 12% adult training/retraining set-aside may be distributed among eligible recipients at the discretion of BASVE and the State Board.** Grants are awarded three times a year—on July 1, October 1, and December 1.

For the purposes of this set-aside, local adult education programs which have been authorized to offer adult vocational education represent the primary pool of eligible recipients. Also eligible are secondary vocational centers and regions who offer adult vocational programming, as well as the MTCS adult and continuing education divisions.

Section 201(e)(1) requires each State to use its adult set-aside to "provide, improve, and expand adult and postsecondary vocational education services and activities to train and retrain adults"—including both "Services and activities developed in coordination with the state agency administering [the Economic Dislocation and Worker Adjustment Act]" and "programs for older individuals and displaced homemakers."

The same section of the Perkins Act defines adults as: "Individuals who have completed or left high school and who are enrolled in organized programs of study for which credit is given toward an associate or other degree, but which are not designed as baccalaureate or higher degree programs," plus all other "Individuals who have already entered the labor market, or have completed or left high school..."

Current federal interpretations limit the allowable uses of the adult set-aside to vocational education per se. Other types of employment-related services, including basic education, literacy training, economic development linkages, and others, are allowable only as ancillary activities within the framework of vocational skill training.

Despite this limitation, Perkins adult training and retraining projects offer a particularly good opportunity for coordination with JTPA employment training projects, as well as with apprenticeship training, economic development projects, and initiatives organized under the auspices of the Maine Human Resource Development Council (MHRDC).

BASVE's Division of Adult and Community Education (DACE), which is responsible for management of the adult training and retraining set-aside funds, has included funding for each of these activities in its plans for the program year. Carefully developed and cost effective proposals directed at these and related adult training and retraining activities will be welcomed by the division throughout the year.

Criteria for Services and Activities for Single Parents and Homemakers and Sex Equity Participants

The allocation of funds under the sex equity and single parent and homemaker programs is discretionary. Funds not allocated to ongoing programs are available to eligible recipients who meet the criteria below. Grants are made throughout the program year until funds are exhausted. Ongoing programs requesting continued funding must follow the reapplication process outlined in Addendum C.

Proposals for funding under the **SEX EQUITY** set-aside must identify a program designed to eliminate sex bias and stereotyping in vocational education, focused on one or more of the following approaches:

1. Programs, services, and activities to eliminate sex bias and stereotyping in secondary or postsecondary vocational education;

2. Vocational education programs, services, and activities for girls and women aged 14 through 25, designed to enable them to support themselves and their families; or,

3. Support services for individuals participating in such vocational education programs and activities, including dependent care services and transportation.

Proposals for **SINGLE PARENTS AND HOMEMAKERS** funding must identify a program focused on one or more of the following approaches:

1. Programs of vocational education and training activities, including basic literacy instruction and necessary educational materials, that will give single parents and homemakers marketable skills;

2. Programs for expanding vocational education services when this expansion directly increases the eligible recipients' capacity for providing single parents and homemakers with marketable skills;

3. Programs designed and delivered by community-based organizations which provide SP/HM services comparable or related to those provided by public vocational education institutions;

4. Services and activities which make vocational and training programs more accessible to single parents and homemakers by assisting them with child care or transportation services or by organizing and scheduling programs so that they are more accessible; or,

5. Provision of information to single parents and homemakers about vocational education programs and related supportive services.

AWARD CRITERIA 16

Criteria for Program Improvement, Innovation, and Expansion Projects

Section 251 of the Carl D. Perkins Act outlines a wide range of activities which can be supported under the Title II, Part B "Vocational Education Program Improvement, Innovation, and Expansion" program. The U.S. Department of Education's final regulations (CFR 401.60) group these activities into three categories:

a. New, expanded, improved, modernized, and developed vocational education programs, services, and activities, which cannot be supported for more than three years;

b. Services and activities that, by their very nature, contribute to the expansion, improvement, or development of vocational education programs, which can be supported for an indefinite period; and,

c. In-service and pre-service training to increase the competence of vocational education teachers, counselors, and administrators.

Allowable activities under category "a" [34 CFR 401.60(a)] include:

1. Projects designed to improve the quality of vocational education;
2. The expansion of vocational education activities to meet student needs;
3. The development of new vocational programs, especially in depressed areas;
4. Training programs designed to promote economic development;
5. Exemplary and innovative programs which stress new and emerging technologies;
6. Improvement of postsecondary and adult vocational education;
7. Career counseling and guidance projects, services and activities;
8. Secondary vocational education program improvement;
9. Vocational math and science programs;
10. The activities of vocational student organizations;
11. Prevocational programs;
12. Modern industrial arts and agricultural arts programs;
13. Vocational education programs at private institutions;
14. Improved or expanded programs for populations with special needs;
15. Pre-employment skills training; and,
16. School-to-work transition programs.

Under category "b" [34 CFR 401.60(b)] allowable activities include:

1. Technical assistance and research;
2. Curriculum development;

3. Economic development coordination;
4. Equipment acquisition and facilities renovation;
5. Stipends for vocational students with acute economic needs;
6. Placement services for vocational education program completers;
7. Day care services for children of secondary and postsecondary vocational education students;
8. The construction of new vocational regions and center facilities;
9. The acquisition of high technology equipment for vocational programs; and,
10. The acquisition and operation of communications and telecommunications equipment for vocational education programs.

Finally, category "c" [34 CFR 401.60(c)] provides for grants to support pre-service and in-service training designed to increase the competence of vocational education teachers, counselors, and administrators.

In general, BASVE evaluates proposals for program improvement projects in terms of the following criteria:

1. Conformity to Carl D. Perkins Act goals and standards;
2. Level of need and justification;
3. Cost-effectiveness;
4. Applicant experience and expertise; and,
5. Overall project impact on vocational education in Maine.

The availability of funds, programmatic priorities, and negotiated agreements with eligible recipients all factor into the award of program improvement funds.

Criteria for Special Projects Under Title III

Title III of the Perkins Act authorizes five innovative "Special Programs" directed toward major goals of the Act not fully addressed by Title II: A—State Assistance for Vocational Education Support by Community-Based Organizations; B—Consumer and Home Economics Education; C—Adult Training, Retraining, and Employment Development; D—Comprehensive Career Guidance and Counseling; and, E—Industry-Education Partnerships for Training in High-Technology Occupations.

Congress has appropriated funds for Parts A and B only. Part A funds are administered by the Division of Program Services and Finance; school-to-work transition projects developed jointly by an eligible recipient and a JTPA service provider are eligible for funding. Part B funds are administered by the Division of Secondary Vocational Education; all consumer and home economics education programs in junior and senior high schools are eligible to apply.

AWARD CRITERIA 18

Sources of Further Information on Funding Opportunities and Approval Criteria

Services & Activities for Handicapped & Disadvantaged Individuals:

Joseph Lessard, Consultant, Handicapped and Disadvantaged Programs

Projects for Adults in Need of Training or Retraining:

Dana Green, Director, Division of Adult and Community Education

Sex Equity and Single Parent and Homemaker Projects:

Edward Maroon, Sex Equity and Single Parent and Homemaker Program Coordinator

Services to Correctional Institution Inmates:

Carl W. Butler, Director, Division of Program Services and Finance

Secondary Program Improvement and Expansion Projects:

Donald F. Marchildon, Director, Division of Secondary Vocational Ed.

Career Guidance and Counseling Projects:

Helen Beesley, Manager, Career Guidance and Counseling Grants

School-To-Work-Transition Projects:

Chris Lyons, Program Manager, Jobs for Maine's Graduates

Consumer and Homemaking Education Projects:

Janis Cross, Consultant, Consumer and Homemaking Education

Staff Development Programs:

Donald F. Marchildon, Director, Division of Secondary Vocational Ed.
Dana Green, Director, Division of Adult and Community Education
Carl W. Butler, Director, Division of Program Services and Finance

Bureau of Adult and Secondary Vocational Education
State House Station 23, Augusta, Maine 04333-0023
207/289-5854

FORMAT 19

UNIFORM FORMAT FOR LOCAL APPLICATIONS FOR ASSISTANCE UNDER THE CARL D. PERKINS VOCATIONAL EDUCATION ACT

Eligible recipients must submit a separate application for each project to be supported with Carl D. Perkins Act funds. **No funds will be awarded unless an approved proposal is on file with BASVE, signed by the appropriate authorized official and the program director:**

- Proposals from secondary **vocational centers** should be signed by the **local superintendent** and the **center director**;
- Proposals from secondary **vocational regions** should be signed by the **chair of the cooperative board and/or the regional vocational director** (depending upon the policy of the cooperative board);
- Proposals from postsecondary **technical colleges** should be signed by the **executive director** of the Maine Technical College System and the **campus president**;
- Proposals from **adult and community education programs** should be signed by the **local superintendent** and the **director of adult and community education**;
- Proposals from **University of Maine System campuses** should be signed by the **campus president** and the **program director**.

Proposals must be submitted in *triplicate*, including *one copy with original signatures*. All proposals should include the following:

Cover Page

A cover page (**Exhibit I**) must be provided for each proposal, to include:

1. A brief, descriptive project title;
2. The amount of funds requested;
3. The name, address, and telephone number of the applicant institution (eligible recipient);
4. The name, title, and signature of the appropriate authorized official;
5. The name, title, and signature of the appropriate program director;
6. The name, title, and telephone number of the project officer (if different); and,
7. The date of submission.

FORMAT 20

Summary/ Abstract

A brief summary or abstract of each proposal must be included, not more than one page long. Prepared after the body of the proposal has been completed, the summary/abstract (**Exhibit II**) might typically highlight the following topics:

1. The need for the project and its basic goals or justification;
2. The measurable objectives or projected outcomes of the project;
3. The types of activities to be funded and the project schedule; and,
4. The cost of the project and sources of matching funds.

Needs Assessment/ Problem Statement

Every proposal must include a statement of need or justification. *In the absence of a statement of an educational/vocational problem to be corrected, or some other indication of need, the value of the proposed project cannot really be assessed, and the success or failure of a completed project cannot be evaluated.*

The scope and form of the needs assessment/problem statement (**Exhibit III**) should be determined by the scope and type of the proposal. No statement should be longer or more elaborate than necessary.

Ideally, each needs assessment or problem statement should meet the following standard:

1. It should be appropriate to the Perkins goals;
2. It should address the needs of vocational education students and participants, not those of vocational education providers;
3. It should be measurable (or at the very least stated in objective terms) and supported by adequate documentation;
4. It should be reasonable in scope in relation to the resources available;
5. If targeted toward a specific area or population, it should be based upon information specific to that area or population;
6. If focused on a particular occupation or cluster of occupations, it should utilize data from the Maine Occupational Information Coordinating Committee (MOICC) Occupational Information System (OIS).

Goals and Objectives

The goals and objectives statement (**Exhibit IV**) should briefly set forth both the overall, long range goals and the specific, measurable objectives of the proposed project. Goals and objectives must be compatible with the basic goals of the vocational education program under the Perkins Act and consistent with the need or problem defined in the needs assessment/problem statement.

All objectives should: be measurable; provide specificity; provide a time frame; provide a basis for comparison; and, be realistic/attainable. Remember that *the measurable objectives of a project are not its methods or activities, but its* ***problem-related outcomes and impact.***

Activity Plan

The activity plan (**Exhibit V**) should provide an overview of the methods and activities to be used to achieve the project objectives. The scope and type of the proposed project will determine the scope and detail of the activity plan.

The activity plan should set forth a detailed, rational, and reasonable schedule of project activities and milestones, organized to facilitate monitoring. Where appropriate, information on the personnel and facilities to be committed to the project should be included.

Coordination Statement

Cooperation and coordination with other programs is a major feature of the Perkins Act. Whenever possible, applications for local assistance should be planned and developed in coordination with: "—programs conducted under the Job Training Partnership Act, the Adult Education Act, Title I of the Elementary and Secondary Education Act of 1965, the Education of the Handicapped Act and the Rehabilitation Act of 1973, and with apprenticeship training programs."

Each proposal should include one or more **coordination statements** (**Exhibit VI**), detailing cooperation and joint planning with, as appropriate, the Department of Labor and JTPA programs, the Department of Human Services and the WEET and ASPIRE programs, the Committee on Transition and the Bureau of Rehabilitation, the Department of Economic and Community Development, the Maine Technical College System and the University of Maine System, and other appropriate HRD agencies.

The name, telephone number, and certifying signature of an authorized contact person with each coordinating agency should be supplied, together with the signature of the program director and copies of all relevant correspondence or other documentation.

Plan for Assuming Fiscal Responsibility

In addition to a plan of activities leading to the achievement of the project objectives, **each proposal for Part B, category A program improvement funds should include a realistic strategy for local assumption of fiscal responsibility for the project, over a three-year period (Exhibit VII).**

Consistent with the goals and requirements of the Perkins Act, the department awards Title II, Part B program improvement funds on a discretionary basis, to empower vocational education agencies in the State of Maine to initiate program improvements, innovations, and expanded services. These funds cannot be used for "maintenance of effort"—to continue ongoing programs or sustain existing services at current levels.

Part B program improvements, innovations, and expansions which meet with success during their first year of operation are eligible for continued funding for up to two more years, but based on a declining scale of Perkins support. Under ordinary circumstances, second year Perkins funding will not exceed 75% of the level of first year support, and third and final year funding will not exceed 50% of the first year level.

Recipients who do not anticipate adequate local or State support for the continuation of a proposed Part B program after the three-year grant period is concluded must include a statement of explanation in their proposal, and a justification for proceeding with the project despite the lack of prospects for continued support.

At BASVE's discretion, this policy requiring phased assumption of local support for Part B projects may be applied to selected Part A and Title III proposals as well.

Monitoring and Evaluation Plan

An effective means of monitoring the conduct and progress of the proposed project, plus a workable plan for evaluating its success upon completion, should be a part of every proposal (Exhibit VIII).

An effective monitoring plan can help ensure the success of any project. Evaluation can help ensure that success is recognized and replicated. BASVE must monitor and evaluate all Perkins-funded projects, and in turn is accountable to the U.S. Department of Education.

Each monitoring and evaluation plan must include mechanisms for confirming that the requirements reflected in all applicable assurances (see page 26) **have been met.**

Project Progress Reports

Applicants for Perkins Act assistance must agree to prepare three project progress reports (PPR's—Exhibit IX) each year, based on information gathered through the monitoring and evaluation process.

The first report—the "**Fall PPR**," covering the period July 1 through October 31—must be submitted to BASVE no later than **December 1**. The second report—the "**Spring PPR**," covering the period November 1 through February 28—must be submitted no later than **April 1**. The third and final report—the "**Annual PPR**," covering the period March 1 through June 30 and *including summary data on the entire project year*—must be submitted no later than **July 1**.

Each report should recapitulate the objectives and activities planned for the reporting period and indicate:

- Which objectives have been met and which have not;
- Which activities have been carried out and which have not;
- Of the activities which have not been carried out, which are pending or in progress and which have been dropped from the activity plan;
- Of the objectives which have not been met, which have been carried over into the next reporting period (or the next project year) and which have been deleted from the project concept;
- What particular successes have been enjoyed, and what exemplary practices have been employed;
- What particular problems have been encountered, and what approaches have not worked out as planned, for what reasons;
- What changes are anticipated to the activity plan, timeline, and objectives of the next reporting period;
- What short-range impact of project operations has been observed, and what long-term impact is anticipated; and,
- What information or technical assistance from BASVE is needed.

Failure to submit Fall and Spring PPR's on a timely basis could be grounds for suspenion of payments. In addition, **submission of the Annual PPR is an essential component of the reapplication process** (see p. 55).

Budget and Payment Schedule

Care should be taken that the budget (Exhibit X) of every proposed project is reasonable and proper in relation to the scope of the project, the requirements of the Perkins Act, and the mandates of state law. Any state or local matching funds claimed must be defensible. *Please retype and use additional pages as necessary.*

An expenditure plan should be incorporated into the project activity plan, and a corresponding schedule of payments under the grant award (**Exhibit XI**) must be included in the proposal.

Budget developers must bear in mind the fact that *all recipients must make provisions for the annual audit required by the Single Audit Act.* Also note that the Perkins Act specifies that "none of the funds expended under this Act will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing entity or its employees or any affiliate of such an organization." *This conflict-of-interest prohibition must be strictly observed.*

Applicants must also remember that Perkins funds may not be budgeted to cover open-ended funding commitments, such as workers compensation benefits.

All proposed equipment acquisitions must be fully motivated in terms of both Perkins requirements and the project objectives. Grant recipients are obligated to develop and maintain an inventory control system that meets all applicable state and federal standards. *Equipment purchased with Perkins funds remains the property of the state until 100% depreciated; all items must be clearly and securely tagged and maintained at the project site.*

In addition to itemizing and justifying all proposed equipment acquisitions (items costing $150 or more), applicants must also itemize several other line categories in their project budgets:

- Salaries;
- Fringe benefits; and,
- Supplies (if the total proposed cost exceeds $300).

It should also be remembered that independent contractors are not employees and thus do not receive fringe benefits.

Year End Financial Report

In addition to the three PPR's, all grant recipients will be required to submit a **Year End Financial Report** (EF-V-125) by **July 15** of each year. (**Exhibit XII** is a mockup, included for illustration only; an official copy, coded with a project number, will be supplied to each project by May 15) . *No new funds will be awarded to any eligible recipient until year end reports have been submitted for each grant they received during the previous year.* The following instructions apply:

1. **Budgeted Carl D. Perkins Expenditures** are those expenditures motivated in the proposal activity plan and outlined in the budget. Any variance in expenditures by line categories from the levels set forth in the proposal shall require **prior approval in writing** from BASVE (see *Budget Adjustment Form*, page 26).

2. **Actual Carl D. Perkins Expenditures** are those expenditures that actually were incurred during the program year, and/or those which were obligated or encumbered prior to the end of the year (June 30).

3. **Unexpended Balance** is the difference between budgeted and actual expenditures.

4. **Match Amount** is any documented and defensible contribution of local cash or in-kind resources to support the operation of the project (see pages 4 and 24). Match amounts are requested solely in order to meet federal matching requirements and are not a factor in the determination of funding levels for subsequent years.

5. **Instructional Salaries** include *fringe benefits as well as salaries.* **Instructional Costs** are *all costs other than salaries, fringe benefits, and administration.* **Administrative Costs** and indirect costs are all costs associated with the administration of the project (normally not more than 7%), as distinct from the direct costs of project operation.

6. The total unexpended balance is the **Amount to be Remitted.** A check in the appropriate amount, made out to *Treasurer, State of Maine*, should accompany each report.

7. One original and three copies of each report should be submitted to:

Bureau of Adult and Secondary Vocational Education
State House Station 23
Augusta, ME 04333-0023
Attention: **Meg Harvey**

Budget Adjustment Form

Any increase in the level of expenditures planned for any line category in a project budget (i.e., administration, personnel costs, equipment, or all other) must be approved in advance in writing by the Bureau of Adult and Secondary Vocational Education.

To make such a request, grant recipients should submit a **Budget Adjustment Form** (EF-V-128) (i.e., Education Finance Vocational form #128) to the BASVE Accounting Office.

Note that **Exhibit XIII** is a mockup, for illustration only; *project officers should contact Meg Harvey, the coordinator of the BASVE Accounting Office, to obtain official copies of the Budget Adjustment Form.*

Assurances

Perkins Section 113 requires that each State Plan for Vocational Education include a comprehensive set of assurances that the state will comply with various Perkins Act and other federal requirements in the operation of the state's vocational education program and the distribution of Perkins funds.

BASVE in turn requires that each applicant for Perkins local assistance submit a corresponding set of assurances (**Exhibit XIV**), with an original signature of the appropriate authorized official.

Applicants who submit multiple proposals during a single program year need only forward a single set of assurances, appended to the first proposal of the year.

EXHIBITS 27

Exhibit I	**Cover Page** [page 28]
Exhibit II	**Summary/Abstract** [page 29]
Exhibit III	**Needs Assessment/Problem Statement** [p. 30]
Exhibit IV	**Goals and Objectives Statement** [page 31]
Exhibit V	**Activity Plan** [page 32]
Exhibit VI	**Coordination Statement** [page 33]
Exhibit VII	**Plan for Assuming Fiscal Responsibility** [p. 34]
Exhibit VIII	**Monitoring and Evaluation Plan** [page 35]
Exhibit IX	**Project Progress Report** [page 36]
Exhibit X	**Budget** [page 37]
Exhibit XI	**Payment Schedule** [page 38]
Exhibit XII	**Year End Financial Report** [page 39]
Exhibit XIII	**Budget Adjustment Form** [page 40]
Exhibit XIV	**Assurances** [page 41]
Exhibit V	**Mailing Label** [page 45]
Exhibit VI	**Checklist** [page 46]

PERKINS LOCAL APPLICATION

PROJECT TITLE:

AMOUNT REQUESTED:

APPLICANT AGENCY:

ADDRESS:

TELEPHONE NUMBER:

SUBMITTED BY:

_____
Name and Title of Authorized Official

_____
Signature

_____
Name and Title of Program Director

_____
Signature

PROJECT OFFICER:

TELEPHONE NUMBER:

DATE:

SUMMARY/ABSTRACT

Project Title:

Applicant Agency:

Date:

NEEDS ASSESSMENT

Project Title:

Applicant Agency:

Date:

GOALS & OBJECTIVES

Project Title:

Applicant Agency:

Date:

ACTIVITY PLAN

Page ____of ____

Project Title:

Applicant Agency:

Date:

GOAL:

Objective/Activity	Start	Finish	Comments

COORDINATION PLAN

Page ____ of ____

Project Title:

Applicant Agency:

Date:

Name and Address of Coordinating Agency:

Name and Title of Authorized Coordinating Agency Official

Signature

Name and Title of Program Director

Signature

FISCAL PLAN

Project Title:

Applicant Agency:

Date:

MONITORING PLAN

Project Title:

Applicant Agency:

Date:

PROJECT PROGRESS REPORT

PPR: _____ Page ____of ____

Project Title:

Applicant Agency:

Amount:

For Bureau Use Only

Meets Requirements

☐ *Yes*

☐ *No*

Reviewed by:

Date:

GOAL:

Objective/Activity	Start	Finish	Comments

Submitted by: _____ Date: _____

[Please return to:
Helen M. Beesley
BASVE, Station 23
Augusta, ME 04333]

BUDGET

Page ____of ____

Project Title:

Applicant Agency:

Date:

COST AREA	FEDERAL SHARE	LOCAL MATCH	TOTAL FUNDS
I. ADMINISTRATION/INDIRECT COSTS			
II. DIRECT PROJECT COSTS			
A. PERSONNEL COSTS			
1. Salaries *[Itemize]*			
2. Fringe Benefits *[Itemize]*			
3. Total Personnel			
B. EQUIPMENT *[$150 +; itemize]*			
C. ALL OTHER COSTS			
1. Travel			
2. Supplies *(Itemize $300 +)*			
3. Space Costs			
4. Contractual Services			
5. Total All Other			
D. TOTAL DIRECT COSTS			
III. OVERALL TOTAL			

[Please retype using the same headings but additional sheets if necessary]

PAYMENT SCHEDULE

Project Title:

Applicant Agency:

Date:

MONTH	AMOUNT REQUESTED
AUGUST	
SEPTEMBER	
OCTOBER	
NOVEMBER	
DECEMBER	
JANUARY	
FEBRUARY	
MARCH	
APRIL	
MAY	
TOTAL	

CERTIFICATION: I hereby certify that all information contained in this proposal, including the representation as to the amounts of obligations during the stated period, is true, complete, and correct.

SIGNATURE:

Signature of Authorized Official Date

YEAR END FINANCIAL REPORT

Program Year 19___ to 19___

Project Title and Number:

Applicant Agency:

Date Due:

July 15, 19___

For Office Use Only

Approved by:

Date:

Category of Expenditures	Budgeted Expenditures	Actual Expenditures	Unexpended Balance	Match Amount
Instructional Salaries				
Sub-Total				
Instructional Equipment				
Sub-Total				
Instructional Costs				
Sub-Total				
Administrative Costs				
Sub-Total				
Total				
Amount to be Remitted				

Submitted by: _____ Date: _____

Signature of Authorized Official

[Mockup; for illustration only]

BUDGET ADJUSTMENT FORM

Program Year 19___ to 19____

Project Title and Number:

Applicant Agency:

Date:

For Office Use Only

Approved by:

Date:

Category of Expenditures	Approved Budget	Proposed Increase	Proposed Decrease	Amended Budget
Instructional Salaries				
Instructional Equipment				
Other Instructional Costs				
Administrative Costs				
Total				

Justification of Budget Change:

Submitted by: _____ Date: _____

Signature of Authorized Official

[Mockup: for illustration only]

ASSURANCES

Applicant Agency:

Date:

1). Assurance of Sex Equity

In accordance with 34 CFR Section 401.19(a)(7), the applicant affirms that relevant training and vocational education will not be denied to men and women who desire to enter occupations not traditionally associated with their sex.

2). Assurance of Avoidance of Conflict of Interest

In accordance with 34 CFR Section 401.19(a)(14), the applicant affirms that no funds awarded on the basis of this application will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the purchasing agency or its employees or any affiliate of such an organization.

3). Assurance of Maintenance of Effort

In accordance with 34 CFR Section 401.19(a)(16), the applicant affirms that the Federal assistance being requested under the Act will be used to supplement and, to the extent practicable, increase the amount of local or State funds that would, in the absence of such Federal funds, be made available for the uses specified in the application, and will in no case supplant such local or State funds.

4). Assurance of Fiscal Control and Accounting Procedures

In accordance with 34 CFR Section 401.19(a)(17), the applicant agrees to provide for such fiscal control and fund accounting procedures as are necessary to assure the proper disbursement of, and accounting for, funds awarded on the basis of this application, and also that Federal funds will not be co-mingled with State or local funds.

5). Assurance of Approval of Programs for Students in Grades 11or Below

With respect to approved secondary vocational education programs, and in accordance with Section 8305(3)(C) of Title 20-A of the Laws of the State of Maine (*Maine Revised Statutes Annotated*), the applicant affirms that any vocational education students below grade eleven have received the approval of the Commissioner of the Department of Educational and Cultural Services for their participation in vocational education.

ASSURANCES

Applicant Agency:

Date:

6). Assurance of Non-Discrimination

In accordance with State and Federal law, the applicant affirms that all projects to be funded under this application will be implemented in a manner free from discrimination on the basis of sex, race, creed, national origin, age, or handicapping condition.

7). Assurance of Participation for Private School Students

With respect to applications for assistance under the Vocational Education Opportunities Program, and in accordance with 34 CFR Section 401.19(a)(3), the applicant affirms that provision has been made for the participation of handicapped and disadvantaged individuals who are enrolled in private elementary and secondary schools.

8). Assurance of Compliance With the Excess Costs Standard

With respect to applications for assistance under 34 CFR Sections 401.92(a) and (b), and in accordance with 34 CFR Sections 401.52(a) and 401.53(a), the applicant agrees that expenditures for handicapped and disadvantaged individuals will be limited to supplemental or additional staff, equipment, materials, and services not provided to other individuals in vocational education that are essential for handicapped and disadvantaged individuals to participate.

9). Assurance of Services for Individuals With Limited English Proficiency

With respect to applications for assistance under 34 CFR Section 401.92(b), and in accordance with 34 CFR Section 401.96(b), the applicant affirms that funds awarded under Section 401.92(b) will be used for vocational education services and activities for individuals with limited English proficiency at least in the same proportion as the number of such individuals served by the applicant in the fiscal year preceding the fiscal year for which the determination is made bears to the population of the State.

10). Assurance of Access for the Handicapped and Disadvantaged

With respect to applications for assistance under 34 CFR Sections 401.92(a) and (b), and in accordance with 34 CFR Section 401.19(a)(18), the applicant affirms that:

ASSURANCES

Applicant Agency:

Date:

a). Equal access will be provided to handicapped and disadvantaged individuals in recruitment, enrollment, and placement activities;

b). Equal access will be provided to handicapped and disadvantaged individuals to the full range of vocational programs available to non-handicapped and non-disadvantaged individuals, including occupationally specific courses of study, cooperative education, and apprenticeship programs;

c). Vocational education programs and activities for handicapped individuals will be provided in the least restrictive environment, in accordance with Section 612(5)(B) of the Education of the Handicapped Act, and will, whenever appropriate, be included as a component of the individualized education plan (IEP) required under Section 612(4) and 614(a)(5) of such Act;

d). Vocational education planning for handicapped individuals will be coordinated between appropriate representatives of vocational education and special education;

e). No later than the beginning of the ninth grade, information will be provided to handicapped and disadvantaged students and their parents concerning the opportunities available in vocational education and the eligibility requirements of vocational education programs;

f). Each handicapped or disadvantaged vocational education student will receive:

- an assessment of their interests, abilities, and special needs with respect to successfully completing the vocational education program;
- special services, including adaptation of curriculum, instruction, equipment, and facilities, designed to meet the special needs described above;
- guidance, counseling, and career development activities, using the Maine Career Information Delivery System, conducted by professionally trained counselors who are associated with the provision of such special services;
- counseling services designed to facilitate the transition from school to post-school employment and career opportunities.

ASSURANCES

Applicant Agency:

Date:

11). Assurance of Special Consideration for Displaced Homemakers

With respect for applications for assistance under 34 CFR Section 401.92(d), and in accordance with 34 CFR Section 401.19(a)(6), the applicant affirms that the project will emphasize assisting individuals with the greatest financial need, and that, in serving homemakers, the applicant will give special consideration to homemakers who, because of divorce, separation, or the death or disability of a spouse, must prepare for paid employment.

By: _____ Date: _____

Signature of Authorized Official

*[Please use for submission of **Proposals**]*

Bureau of Adult and Secondary Vocational Education
Division of Program Services and Finance
State House Station 23
Augusta, ME 04333-0023

Attention: **Pat Julien**

*[Please use for submission of **Project Progress Reports**]*

Bureau of Adult and Secondary Vocational Education
Division of Program Services and Finance
State House Station 23
Augusta, ME 04333-0023

Attention: **Helen Beesley**

*[Please use for submission of **Year End Financial Reports** and **Budget Adjustment Forms**]*

Bureau of Adult and Secondary Vocational Education
Division of Program Services and Finance
State House Station 23
Augusta, ME 04333-0023

Attention: **Meg Harvey**

CHECKLIST

Project Title:

Applicant Agency:

Date:

Prior to submitting any proposal for Carl D. Perkins Act assistance, project officers should review the following checklist:

- ❑ Has the entire proposal been reviewed and approved by the appropriate Authorized Official and the Program Director?
- ❑ Has the Cover Page been completely and accurately filled out, and signed by both the Authorized Official and the Program Director?
- ❑ Has a concise Summary or Abstract been included, highlighting the indicated topics?
- ❑ Has a systematic and thorough Needs Assessment been carried out and summarized on the appropriate form?
- ❑ Have suitable long range Goals and measurable Objectives been developed, keyed to the Needs Assessment?
- ❑ Has a detailed, realistic, and reasonable Schedule of Project Activities/Milestones been included, incorporating an expenditure plan?
- ❑ Has a separate Coordination Statement been included for every appropriate program, signed by the appropriate officials?
- ❑ If appropriate, has a realistic Plan for Assuming Fiscal Responsibility been worked out?
- ❑ Has an effective and workable Monitoring and Evaluation Plan been developed, sufficient to ensure timely submission of all three Project Progress Reports?
- ❑ Has a reasonable and proper Budget been included, reflecting sufficient resources to meet project objectives, incorporating adequate provision for the annual audit required by the Single Audit Act, and excluding any open-ended funding commitments? Have personnel costs, equipment requests, and any supply requests exceeding $300 been itemized? Has an inventory control system sufficient to meet federal requirements been established?
- ❑ Have the Payment Schedule and the Assurances been reviewed and signed by the appropriate authorized official?
- ❑ Has the appropriate Mailing Label been affixed to the envelope?

ADDENDUM A

GRANT AGREEMENT

CARL D. PERKINS VOCATIONAL EDUCATION ACT
BASIC STATE GRANT FOR VOCATIONAL EDUCATION

GRANT AGREEMENT

The State Board of Education, through the Maine Department of Educational and Cultural Services (the "Department") and the Bureau of Adult and Secondary Vocational Education (the "Bureau"), hereby awards to _____ (the "Recipient") a grant of Vocational Education Basic State Grant funds under the Carl D. Perkins Vocational Education Act (P.L. 98-524) in the amount of $_____.

In accepting this grant, the Recipient agrees to the following conditions:

1. This Grant Agreement has been reviewed in its entirety and formally approved by the school board, cooperative board, board of trustees, or board of directors of the Recipient.

2. The Recipient has designated a project officer who will have supervisory responsibility for the project and will function as the liaison person with the Bureau and the Department as a whole.

3. The expenditure of grant funds under this agreement will be in accordance with: the Recipient's approved application, budget, and assurances; the standards and requirements set forth in the Bureau's *Uniform Guidelines for Local Applications for Assistance to Eligible Recipients Under the Carl D. Perkins Vocational Education Act (P.L. 98-524)*, including the requirement to submit **Fall, Spring,** and **Annual Project Progress Reports** and a **Year-End Financial Report** on a timely basis; the customary financial procedures of the Recipient; and the requirements of applicable federal and State law.

4. Any variance in expenditures by line categories from the levels set forth in the grant application and budget, or any major change in the goals or objectives of the project, shall require prior approval of the Department (in the form of an approved Budget Adjustment Form, EF-V-128, or an approved amended proposal, respectively).

5. Up-to-date financial and program records relating to the project will be maintained by the Recipient, and made available for review by personnel of the Department, the U.S. Department of Education, and independent auditors.

6. The financial records of the project will be included in the annual audit of Recipient expenditures, and any deviations, discrepancies, or exceptions will be reported to the Department, with a copy of the auditor's report.

7. The Department may withhold or suspend payments of the grant award, or require repayment of grant monies already spent, upon a finding that grant monies are being or have been improperly spent, that required reports have not been filed, or that the project is otherwise not in compliance with applicable law. No final penalizing action will be taken by the Department until the Recipient has been notified of the alleged violation and has had an opportunity to respond.

8. The Department may withhold or recover payment of all or part of the grant award if the Recipient is found, after an adjudicatory proceeding or adjudication, to be in violation of the Maine Human Rights Act (5 MRSA Section 4551 *et. seq.*) or the Federal Civil Rights Act (42 USC Section 1981 *et. seq.*) during the project period.

By: _____ Date: _____
Signature of Authorized Official

_____ Date: _____
For the Department of Educational and Cultural Services

ADDENDUM B

DECS GRANT AWARD RULE

05- DEPARTMENT OF EDUCATIONAL AND CULTURAL SERVICES

071 COMMISSIONER & STATE BOARD OF EDUCATION

Chapter 003 AWARD OF GRANTS AND CONTRACTS BY THE DEPARTMENT OF EDUCATIONAL AND CULTURAL SERVICES

SUMMARY: This rule is intended to govern the award of contracts and grants by the Department of Educational and Cultural Services and is issued pursuant to Title 5, Section 1831, Maine Revised Statutes.

1. SCOPE OF THE RULE

The standards and procedures set forth here shall govern the award of all contracts and grants by the Department of Educational and Cultural Services, except those contracts governed by statutes and rules pertaining to the Departments of Finance and Administration.

Contracts or grants governed by provisions of federal law shall follow this procedure insofar as it is consistent with federal requirements. Specific federal requirements shall govern particular federally funded programs.

Contracts or grants governed by specific provisions of Title 20-A or other provisions of the Maine Revised Statutes shall be awarded in accordance with legislative intent and any rules or requirements issued by the Department.

Where the Department has discretionary authority to determine additional standards or procedures, these standards and procedures shall be published and distributed at the time contract or grant opportunities are advertised.

This rule is not intended to govern the award of any state monies made pursuant to the School Finance Act or any other provision of state law per state subsidies or reimbursements of school unit expenditures.

2. DEFINITIONS

Commissioner: "Commissioner" means the Commissioner of Educational and Cultural Services or his/her designee.

Department: "Department" means the Commissioner, State Board of Education, and the Bureaus of Instruction, Adult and Secondary Vocational Education and School Management.

Discretionary grant: "Discretionary grant" means any grant program in which the selection of grantees is delegated to the Department.

3. GRANT AWARDS

A. Notice of Availability

The Department will inform prospective grant recipients of the opportunity for obtaining grants from the Department. Notice of grant opportunities, where applicable, will be given by Informational Letter to all superintendents of schools and to chief administrators of eligible approved private schools or programs. Written notice will also be given, where applicable, to all potentially eligible persons or organizations who have indicated an interest in receiving or who might reasonably be interested in grant opportunities. Written notification shall also be given to all persons currently providing the same or related services or holding the same or similar grants. Where necessary, to reach a wider audience of potentially eligible grant recipients or where individual notices are too costly or inefficient as a means of notification, the Department may publicize the availability of grants by publishing a notice in the official state newspapers, by sending notices to representative organizations, or by publishing notice in Maine Insight.

B. Applications

Applications for grants shall be made on forms prepared by the Department and shall be submitted by the published deadline.

C. Selection Criteria

The selection criteria for award of any discretionary grants shall be determined by the Commissioner or the State Board, as applicable prior to notice of grant opportunities. Criteria shall be consistent with the intent of the governing law. Where not inconsistent with the governing law, selection criteria shall include the following: (1) completeness of the proposal, (2) comprehensiveness of program descriptions, (3) cost factors, (4) experience and expertise of the applicant, (5) prior satisfactory experience of the applicant in implementing Departmental grants or contracts, and (6) other relevant factors.

The selection criteria for grant awards shall be published by the Department at the time grant proposals are sought in a Request for Proposals and shall be made available to all interested persons. The selection criteria shall be kept on file by the Bureau or Division in charge of the grant for the period of the grant and for two years thereafter.

D. Selection of Grant Recipients

The award of discretionary grants shall be made on the basis of a review and assessment of applications by designated Departmental personnel or other agents in accordance with the published criteria. The Department may use evaluators from outside agencies to assist in reviewing and assessing applications, but final selection shall be made by designated Department personnel and shall be the ultimate responsibility of the Commissioner, or, where specified by law, the State Board of Education.

Proposals which are incomplete may be penalized or rejected by the Department. In all cases, the Department may refuse any and all proposals for discretionary grants and may reopen the requests for proposals.

Proposals received after announced deadlines shall not be considered.

The Department shall notify all grant applicants of decisions on their proposals, in writing, within a reasonable time or as specified in the request for proposals.

E. Execution of Grant Award

If a grant application is approved, the applicant will receive a Grant Agreement from the Department which shall be approved by the School Board, signed, and returned within the specified deadline to the Department.

No grant monies will be paid until the signed Grant Agreement is received. The grant agreement shall specify or incorporate by reference all requirements applicable to the grant.

F. Renewal of Grants

The Department may renew any discretionary grant one time, if consistent with the authorizing statute, without reopening the full grant application procedure to other parties.

The Department also may renew any grant to an agency which is directly providing special education or related services to exceptional children when, in the opinion of the Director of Special Education, continuity of service to students is an important objective.

G. Accountability Procedures

The Department may suspend or withhold grant funds or require the repayment of misspent funds from any school unit not in compliance with the terms of the grant. After a finding of noncompliance by Department personnel, independent auditors or federal personnel, as applicable, a school unit fails to meet its compliance commitment as specified in a monitoring report, audit report or compliance agreement, the Department shall inform the school unit of its intention to suspend or withhold funds or require repayment of funds. The school unit shall have an opportunity to respond to the Department's proposed action and may request a hearing on the issue.

4. CONTRACT PROCEDURES

A. General Principle

All contracts entered into by the Department shall be made in accordance with the applicable rules and procedures of the Departments of Finance and Administration, except for those which are clearly exempt from those procedures.

B. Inter-Governmental Loan Service Contracts

Contracts for the services of persons obtained through intergovernmental agreements, as authorized by Title 5, Secs. 3001-3007, Maine Revised Statutes, shall be under the supervision of the Associate Commissioner of the bureau to which services are rendered or the Deputy Commissioner. The purpose of such contractual agreements shall be to obtain the services of persons recognized as experienced in their fields for periods of employment with the Department not to exceed two years.

Contracts with school units may be made on the school-year basis with the school board of the employing school administrative unit. The intent of inter-governmental loan contracts will be to continue all salary and benefits of the person on inter-governmental loan as if that person continued to work for their usual employer during the contract period although other arrangements are also possible.

No inter-governmental loan services contracts shall be executed without the consent of the individual whose services are sought.

C. Contract Terms

Contracts for personal services shall clearly define the nature of the services contracted for. Appropriate accountability measures shall be incorporated into each contract, which may include payment upon satisfactory completion of the specified services or project.

5. NONDISCRIMINATION REQUIREMENT

Any contract or grant agreement entered into by the Department shall be in accordance with the requirements of the Code of Fair Practices and Affirmative Action, Title 5, Section 781 and following, Maine Revised Statutes.

6. FISCAL REQUIREMENTS

Each contractor or grantee shall be required to keep financial records according to standard government accounting practices and in conformance with Department direction. Each contract or grant shall be audited annually by an independent auditor as part of the annual audit requested of school administrative units.

7. CONFLICT OF INTEREST

Any decision to award a contract or grant in whole or in part shall not be made by a Department official, employee, or agent who is the spouse or a member of the immediate family of the prospective contractor or the Department official, employee, or agent shall notify his superior or the Commissioner of this conflict of interest and an alternate person shall be named to handle the contract or grant.

No Department official, employee, or agent may review, assess or make a determination relating to any contract or grant proposal in which he has a direct or indirect pecuniary interest. Where such a pecuniary interest occurs, the Department official, employee, or agent shall notify the Commissioner and an alternate person shall be appointed.

Where the State Board has the authority to vote upon a contract or determine a final grant award, a Board member with a conflict of interest shall be excused from participating in the matter.

Any contract which is made in violation of this section is voidable.

Any grant awarded in violation of this section may be terminated by the Commissioner.

8. ADMINISTRATIVE APPEAL OF DECISION

Where the Department has entered into a contract or made a grant award pursuant to this rule, an aggrieved person may appeal the adverse decision of the designated Department employee to the Commissioner. Any such appeal must be in writing and shall set forth the reasons for the appeal. Any appeal of an adverse decision must be made within 10 days of notification of the Department's decision.

The Commissioner may notify the successful contractor or grantee of an appeal by an aggrieved party and shall determine whether the disputed contract or grant shall be executed pending the administrative appeal, if not already done. The Commissioner may, in his/her discretion, hold a meeting with the aggrieved person. If, in the opinion of the Commissioner, the aggrieved person's allegations raise reasonable questions concerning the appropriateness of the contract or grant award, he/she may hold an informal fact-finding hearing. This hearing, at the discretion of the Commissioner, may be attended by the successful contractor or grantee and any other applicant.

The final decision of the Commissioner on administrative appeal shall be made in accordance with the procedures and established selection criteria, as established in this rule, any departmental rules or requirements, contract specifications, or request for proposals.

AUTHORITY: 5 MRSA §1831

BASIS STATEMENT: This rule is adopted jointly by the Commissioner of Educational and Cultural Services and the State Board of Education in their respective capacities as "agencies" with authority to award contracts and grants or sub-grants, depending on particular statutory provisions. The rule, required by 5 MRSA §1851, is meant to be a general process which will govern in those instances where more specific rules have not been adopted.

REPRESENTATIVE COMMENTS: None

EFFECTIVE DATE: August 25, 1986

ADDENDUM C

GRANT REAPPLICATION PROCESS

1). Under the provisions of State policy and the Carl D. Perkins Act, the maximum duration of a local assistance grant in the State of Maine is one year. **Any funds not properly expended or encumbered as of June 30 of any given program year must be returned to BASVE by July 15 of that year.**

2). Unless otherwise specified in the grant agreement, projects may apply for renewal for one or more additional years after the successful conclusion of the initial year. However, **Perkins regulations impose a three-year limit on funding for category A Title II(B) program improvement projects, and bureau policy may limit the number and/or level of renewals of projects in other program areas as well.**

In most cases, applicants eligible to apply for renewal of a Perkins project will receive a notification of eligibility from the appropriate BASVE program manager, specifying the potential level of renewed funding and setting forth a timeline for applications and any unique requirements or other considerations.

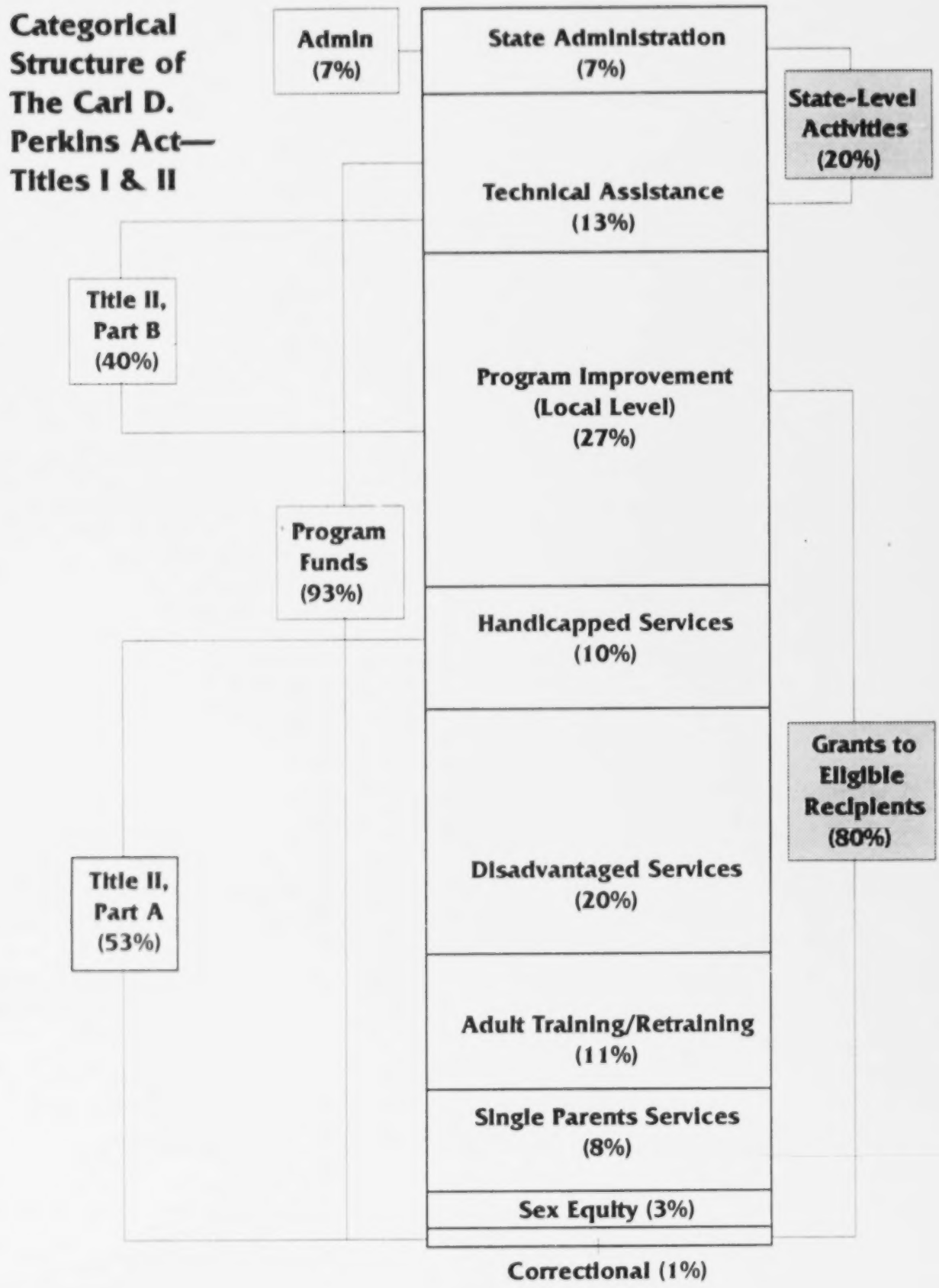
3). **No application for renewal will be approved by BASVE unless Annual Project Progress Reports and Year-End Financial Reports have been received and accepted by the Division of Program Services and Finance, and any unexpended funds have been returned.**

4). The uniform application format set forth in this document should be used for reapplications as well as initial proposals. However, the content of the application should go beyond a mere restatement of the original justification, goals and objectives, and activities of the project to set forth a **comprehensive project improvement plan, built around the achievements and shortcomings of the initial project year.**

5). Any questions or concerns should be directed to the program manager identified on the notification of eligibility.

Technical assistance is available in the preparation of a reapplication. Critical to this process is the implementation of evaluation and monitoring activities designed to provide systematic program management information during the conduct of your program. Use of this reapplication process as a program management tool is encouraged.

Categorical Structure of The Carl D. Perkins Act—Titles I & II



COLOPHON

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